



AUBURN UNIVERSITY

OFFICE OF THE SECRETARY  
TO THE BOARD OF TRUSTEES

**MEMORANDUM**

To: President Steven Leath  
From: Trustees Milke DeMaioribus, Charles McCrary, Sarah Newton, Jimmy Rane, and Wayne Smith  
Re: Annual Assessment of the President  
Date: September 13, 2018

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Board policies base the annual presidential assessment on six areas critical to the life of the institution, informed and guided by delineated "Assessment Criteria" listed in the Presidential Assessment guidelines, as well as the self-assessment that you recently created for us. We thank you for your service to Auburn and the Board and encourage you to continue to search for positive ways to improve the University and to successfully communicate with all constituencies under your leadership, as well as the Board itself.

Additional information on the six assessment criteria is provided below.

1) Summarize performance in addressing previously established goals and objectives

Elevating Research: We appreciate what you and the many others on your team have done in Research since your arrival. We encourage you to focus on it moving forward. We look forward to reviewing the benefits of the changes you are making. Please do not hesitate to let us know how we can support your efforts. We also look forward to hearing your ideas and plans for the Research Park. As we have discussed, we share your desire to recruit innovative companies to locate in the Park in an affordable and business-friendly environment that appropriately integrates the image and character of Auburn's main campus.

Elevating Auburn's Role in the State: We have noted your and your team's efforts to capitalize on Alabama's improving economy and to initiate good relationships with state political and business leaders as you familiarize yourself with the workings of the state.

We acknowledge your goal to remove bureaucratic barriers throughout the University. Please continue these efforts in the year ahead, focusing on positive morale and collaboration among Auburn administrators and faculty. This will be especially important as you begin to acclimate new leaders to Auburn's supportive and cooperative culture. With a continued focus on urgency ... but also on collegiality, communication, and project completion ... we feel certain that Auburn's statewide prominence and reputation for accomplishment can be further advanced.

2) Highlight particularly significant accomplishments during the assessment period.

The Strategic Planning Process: We look forward to the February 2019 completion of the Strategic Plan, as well as the various opportunities you are designing to obtain real-time input from us, as well as Auburn's internal and external stakeholders.

Raising Auburn's National Profile: As we have discussed in the past, Auburn's trademark humility can be a blessing and a curse. We are hopeful that your bold confidence will complement that humility in a way that preserves Auburn's tradition but showcases its ability.

Energizing Philanthropy: Congratulations to you and your Development staff on an excellent year of fundraising. Special commendations are made to Jane Parker and Tim Jackson, as well, for the excellent work they continue to do with the Auburn University Foundation and the Tigers Unlimited Foundation. We look forward to continued success.

3) Identify continuing problems the President is facing and recommend how the Board and the President might work together to address these problems

How can the Board Assist? We see that you addressed expected future problems in Section 4 of your self-evaluation, and we assume that the items in Section 4 will form the basis for "continuing problems" that you will identify in future years. The Board would be interested to know how, specifically, you believe we might work with you to address these problems and will work toward that objective throughout the year.

4) Describe three major challenges and three opportunities the University will face in the upcoming year and what role the President will play in addressing them

Problems: We appreciate your insight as to impending problems that Auburn may face in enrollment, faculty and philanthropic recruitment, and streamlining university processes. As you work further on these issues, we suggest that you continue to listen to and learn from the Auburn family. Understanding Auburn's history, its mission, and its values is key to strong performance in development and in student recruitment.

As you continue to remove bureaucratic barriers, we further suggest that you approach the inevitable changes with clear communication and attention to morale. Retirements, new hires, and organizational alterations are capable of causing unrest among faculty and staff. We remain hopeful that through clear communication and careful planning, Auburn personnel will welcome and aid in your efforts.

Opportunities: We have reviewed your list of opportunities and agree with your assessments.

We would further suggest that you focus upon and enrich Auburn's exemplary history and reputation as a national leader in undergraduate instruction and as a university community that hospitably welcomes all stakeholders into the "Auburn Family". Our customer-base is the undergraduate student. Please use resources to focus on best practices, methodologies and emerging pedagogies that will serve our students and endear them to the institution. Let us know how we can assist you in making the most of these.

5) Briefly discuss the strengths and overall performance of the Senior Administrative Staff

After a year of extensive organizational change and reorganization, we look forward to seeing the tangible and substantive projects that your new team will undertake. We trust that your staff and structure will yield outstanding results in the year ahead, collaboratively and thoughtfully addressing the University's biggest challenges.

6) Provide a brief summary of goals and objectives for the University for the year ahead as well as longer range

You have forecasted an ambitious agenda for the year ahead and we are eager to review the development of your vision and initiative in each of these areas. We look forward to working with you and the faculty leadership in the strategic planning process to create clearly defined, measurable outcomes and determiners in each of these important endeavors.

7) Special thoughts on communication

As you have seen from your past year at Auburn, the entrustments and directives of Alabama's constitutionally-created universities are different from many universities across the country. The explicitly delineated duties of our Board differ substantially from models in other states where a central authority (such as a state board of regents or plenary commission) oversees all higher education activities. We appreciate your work over the past year in learning this new system and the necessary communication required to make it successful. While we respect and reiterate your day-to-day administrative control over the affairs of Auburn University, we encourage you to continue to work directly with us or through the Board Office to keep the Board informed of higher-level plans and activities, such as major expenditures, the hiring of principal officials, and any other matters which could have significant bearing on the operation, reputation and/or good standing of the University.


Please reach out to Board members, the Auburn family, and to current and former faculty and administrators with institutional knowledge as you continue to learn more about Auburn's culture and history.

We look forward to watching your progress this year after all the preparations you have made to move Auburn forward. We stand ready to assist you in whatever way we can. Thank you for your efforts to improve Auburn during your first full year as Auburn's nineteenth president.



AUBURN UNIVERSITY  
OFFICE OF THE PRESIDENT

July 31, 2018

MEMORANDUM TO: Members of the Board  
FROM: Steven Leath   
RE: Presidential Self-Assessment

It is my pleasure to provide a self-assessment of my first year as president of Auburn University, an institution on the move. Serving in this role is a truly an honor, and I'm grateful for your confidence in me and the support you have given me since day one.

Auburn is a strong institution, and our solid foundation will serve us well as we work toward our ambitious goals for the future. We actively seek to grow the impact and stature of the university. You have my unwavering pledge that I will continually strive for excellence at every opportunity to make a great university even stronger.

The Board set forth six categories for the presidential self-assessment. My progress and future goals for each of these categories are detailed in this memorandum. To complement and supplement this document, I have attached a thorough report on Auburn research that details our great strides in this area of our mission.

Finally, my senior team and I are committed to ensuring that members of the Board receive timely information and updates on critical university developments. This goal is a high priority for me, and it will remain of the utmost importance.

1) Summarize performance in previously established goals and objectives

During the interview process, the Selection Committee and Trustees made clear that elevating research and elevating Auburn's role in the State were expectations for the new president, both of which are highlighted in this section. Other expectations were raising our national profile, fostering our role in economic development and strengthening our crown jewel, Auburn's high-quality student experience, all of which are detailed throughout this report.

## Advancing transformative research

We are taking a number of tangible steps to grow Auburn research and expand our role as a partnership university. To realize our full potential as a land-grant university, we must drive innovation and discovery. We are working toward attaining Carnegie 1 research status, and the following initiatives will help us reach this goal.

### ■ *Presidential Awards for Interdisciplinary Research*

After a rigorous review process, we have made a \$5 million investment in 11 life-changing research projects. We are providing seed funding to propel faculty researchers toward securing additional, external support. The PAIR projects will bring practical solutions to a variety of real-world challenges, including housing affordability, the treatment of Alzheimer's disease and the use of advanced manufacturing to make medical implants safer and more accessible, among others.

### ■ *Presidential Graduate Research Fellowship*

This fall, we welcome 25 top-tier PhD scholars through this new fellowship program. These scholars, representing emerging and established areas of research, are among our best and brightest, and they will enhance the profile of our doctoral and professional degree graduates as academic and societal leaders. This program will expand to 99 fellows by 2020.

### ■ *Streamlining business procedures*

We are making it easier for the private sector to enter into contracts and collaborative relationships with Auburn. An *à la carte* intellectual property model is being adopted, allowing our industry partners to choose IP options that better fit their needs.

### ■ *New leaders to leverage Auburn research*

A national search is underway for a new vice president of research, one who will be adept at identifying and leveraging the strengths of our university and faculty. Our ongoing strategic efforts will ensure we recruit a top-caliber leader to infuse even more energy into Auburn's research endeavors.

For more highlights of our progress to further Auburn's research enterprise, please see the attached report.

## Elevating Auburn's role in the State

Early in my tenure, I made it a priority to build a strong rapport with Governor Ivey, members of the legislature and other key State officials. Through face-to-face meetings and consistent communication, we have nurtured existing relationships and developed new partnerships to ensure Auburn continues to be a prominent contributor to and key player in the State's economic development landscape. Several members of the Board are likewise well-known to

the Governor and State officials, and your relationships significantly support and advance our common goal: to elevate Auburn's active engagement with the State.

Over the past year, we have seen several positive outcomes from our increased efforts and enhanced reputation within the State, including:

- A 3.48 percent increase in state support for the Auburn system, the largest in a decade
- An additional \$250,000 in new funds for the Department of Poultry Science
- Passage of two priority pieces of legislation
- Funding of \$12 million for the structural testing laboratory

We have also worked in the first 12 months to augment Auburn's presence in Huntsville. During three visits to Huntsville, I met with a wide range of community, corporate and government officials.

New Huntsville initiatives in the past year include a student employee program with Boeing, human exploration design concepts with NASA, a research partnership with HudsonAlpha and aviation training technology with the FAA. We have also formed new partnerships, all focused on additive manufacturing, with Huntsville City Schools, Aerojet Rocketdyne and the US Army Aviation and Missile Research, Development and Engineering Center.

The Huntsville Research Center is a hub of collaboration among Auburn and industry and government agencies in defense, aerospace, cyber, advanced manufacturing, health sciences and more. The center secured \$6 million in contracts for FY18. Initiatives in the pipeline for FY19 include cyber contracts with industry and government and a partnership with industry to design all digital radar systems for the Army. To support these new initiatives, we are currently recruiting four additional research faculty who will be based in Huntsville.

As home to a growing population and surging economic activity in aerospace, defense, additive manufacturing and life sciences, North Alabama will continue to remain a focus area for us. For more detailed information on our progress in Huntsville, please see the attached research report.

Finally, we have repeatedly and consistently articulated the message that Auburn is open for business as a partnership university. In order to become a trusted, go-to partner, we must have high quality, strategic administrators who possess private-sector leadership qualities. We are in the initial stages of searching for a chief of staff and vice president for economic development. A key criterion in the selection process will be the individual's ability to energize Auburn's role in attracting new jobs and investment into the State and retaining the jobs already here. Also ongoing, as previously noted, is a national search for a vice president for research, and this leader will enhance Auburn's reputation for integrating knowledge, answering complex questions, and providing practical solutions.

While growing our role as a partnership university will be a slow, steady process, Auburn's recognition throughout the State is growing. We are becoming even more prominent as a trusted, first-choice academic partner for innovative solutions. We are focused on ensuring this trend continues.

## **2) Highlight particularly significant accomplishments.**

While this letter details many of our significant accomplishments, there are a few I would like to highlight as examples of a university with undeniable forward momentum.

### **Initiating the strategic planning process**

We initiated a strategic planning process chaired by two shining stars of the Auburn faculty. I have tasked the team with conducting a comprehensive review and offering tangible analysis and recommendations. This impressive committee has determined key areas of opportunity to expand our existing strengths and identified our capacities for growth. They are engaging with the Board and stakeholders on campus and beyond to gain input and support from influencers inside and outside the Auburn family. We are looking forward to presenting our ambitious, high-level plan to the Board at the February 2019 meeting.

The strategic plan will guide our efforts to hire 500 tenure-track, research- and scholarship-focused faculty by 2022. Endeavors mentioned in this letter will bolster our efforts to recruit top faculty talent who will expand Auburn's education, research and economic development initiatives, and in turn, our capacity to meet pressing societal needs. By adding even more inspiring and forward-thinking academics to our ranks, we will facilitate scholarship growth, improve faculty/student ratios and enhance our partnership capabilities.

### **Stimulating entrepreneurship and innovation**

We are diligently working to stimulate entrepreneurship and innovation. It was a true pleasure to receive an invitation to speak at the "Rise of the Rest" at Birmingham's Innovation Depot. The event, sponsored by AOL founder Steve Case, afforded me the opportunity to engage with members of the regional startup community in a roundtable discussion. Auburn's prominent role at Rise of the Rest garnered significant favorable attention for the university.

### **Raising our national profile**

We are making great strides to raise our national visibility. It will likely come as no surprise to members of the Board that the Auburn brand is undervalued and largely unknown beyond our Auburn family constituency base. There are exceptions, such as our athletic accomplishments and our highly-regarded prowess in canine detection, but Auburn is a leader in many more efforts deserving of national and international attention.

Changes in our organizational chart now allow greater strategic direction as we work toward raising our national profile. We have shared with you some of our “wins” earned through a more aggressive approach to media relations and story placement at the national level. Moving forward, these enhanced marketing efforts will support faculty hiring, research growth and economic development. Overall, we are concentrating on reputational growth among key audiences with a corresponding impact on our national rankings.

In addition, managerial changes will most certainly help raise Auburn’s status. Five superbly capable leaders are now in key senior administrative positions. These outstanding new hires include our new general counsel Jaime Hammer and new athletics director Allen Greene. Additionally, I appointed Ron Burgess as chief operating officer and Bill Hardgrave as provost, and their strategic leadership has already proven extremely beneficial. These key administrators will complement the leader eventually selected as chief of staff and vice president of economic development. I will work closely with these talented staff members to ensure Auburn keeps moving forward and reaches our goals.

### **Energizing philanthropy**

Despite conclusion of the “Because This Is Auburn” campaign, we continue to move forward in philanthropic support. The unceasing generosity of our donors speaks to the vital importance individuals across the country and beyond place on the university’s efforts.

It was a great pleasure to meet with top individual and corporate donors and participating in and hosting events to help propel the final campaign total beyond \$1.2 billion. In my first year, the Office of Development raised more than \$140 million by fiscal year end, surpassing the university’s annual goal by more than 29 percent, which is unusual during a leadership change.

Presidential introduction events in Birmingham and Houston provided me with the opportunity to articulate our vision to key stakeholders as an avenue toward increasing our philanthropic momentum through the campaign’s conclusion and beyond. We hosted a campaign close celebration on March 2 for our most generous donors who, collectively, gave more than half the campaign total. Then, on March 5, we hosted a campaign celebration for the Office of Development team to recognize their hard work and success over the course of the campaign. During the spring, I participated in five constituency campaign close celebrations, personally thanking more than 1,000 campaign donors. During this first fiscal year, the university and foundation endowment portfolios grew by 12.5 percent over the previous fiscal year.

We also enjoyed a record fundraising year for the Tigers Unlimited Foundation. In the “Because This is Auburn” campaign, Athletics led the way with \$281 million in commitments. This past year, Athletics surpassed \$31 million in ticket-related donations for only the third time. In the past decade, the average major gift commitment was \$9.2 million annually. However, in the past year, we broke all records with \$18 million plus in major gift commitments.



Janet and I were delighted to attend all Tigers Unlimited events, where I had the pleasure of addressing donors. To further nurture these important relationships, we traveled with several top TUF donors to San Diego for the NCAA tournament. I am committed to a world-class athletics program and will remain dedicated to our fundraising success in this area.

- 3) Identify continuing problems the president is facing and recommend how the Board and president might work together to address these problems.

Please see the following section.

- 4) Describe three major challenges and three opportunities the university will face in the upcoming year and what role the president will play in addressing them.

### Challenges

1) *Demographic changes*

The number of high school graduates across the country is declining, and this trend has a corresponding impact on university enrollment. Some reports indicate that more than 50 percent of public colleges and universities didn't reach their enrollment or revenue targets in 2016. College enrollment nationwide is down the last several years. Universities in the Midwest in particular have already experienced the consequences. Although the demand for the Auburn experience remains high, we are not immune to these demographic changes. It's estimated that universities in the Southeast will begin facing enrollment challenges in the next five years. It is crucial that Auburn strategically and aggressively recruits prospective in-state and out-of-state students. We are currently engaged in a national search for a permanent vice president of enrollment services. This individual will articulate strategic enrollment efforts to enhance our ability to attract, enroll and retain talented students.

2) *Competition for faculty and philanthropic support*

The competition for talent and support in higher education is tough. To achieve our goals, we must remain strategic and proactive. The support and assistance of the Board is invaluable to our efforts to cultivate top faculty hires and donor prospects.

3) *Efficiency of business operations*

As noted earlier, we have already made significant improvements in the way we enter into agreements and contracts with industry and corporate partners. There is still work to be done to streamline our business operations, especially with regard to facilities, human resources and purchasing. In some areas, we are unnecessarily bureaucratic and inefficient, and we are diligently working to simplify and improve processes that will enable us to more quickly reach our goals.

## Opportunities

1) *Expanding our presence in Huntsville*

North Alabama is a growth market in the State, as noted earlier. As the region continues to develop, we will implement strategies to capitalize on the resulting opportunities in development, student recruitment, partnerships with business, industry and government, and beyond.

2) *Expanding our presence in Birmingham*

Similar to Huntsville, Birmingham represents a growth market for Auburn. For too long, we have allowed another institution to dominate this area of our State in competition for students, corporate partnerships and reputation. We aim to end their reign in Birmingham. Over the past year, I've traveled 15 times to Birmingham and will continue doing so in an effort to increase our presence. We are expanding our footprint in the city, with plans to open a multiuse facility that will provide opportunities for our acclaimed Urban Studio, Extension expertise and academic offerings, including a planned Executive MBA program. The space will also serve as a venue for alumni, development and additional university events.

3) *Developing an Arts and Innovation District*

Plans for the Research Park are exciting, and it is shaping up to be a destination for innovative, entrepreneurial support and talent. As it grows, we will seize every opportunity for collaboration with both new business enterprises and more established industries. In partnership with the City of Auburn, we are witnessing the emergence of an Arts and Innovation District that will be a hub of cultural, economic and innovative activity for our communities and beyond. Auburn will stand apart from its peers by leveraging the links between arts and research, fostering creativity in an entirely new way.

4) *Positioning Auburn as a thought leader regarding free speech on campus*

Questions and controversy surrounding free speech, intellectual diversity and civil discourse remain national issues. Auburn was a national leader in this conversation, addressing these timely topics head-on, largely through the Critical Conversations Speaker Series. In addition to bringing nationally recognized speakers to campus, the series initiated and encouraged a thought-provoking, productive campus dialogue. We will continue to be a thought leader in this arena and provide leadership on this issue, one that impacts campuses across the country.

5) Briefly discuss the strengths and overall performance of the senior administrative staff.

Overall, our exceptional senior administrative team members have proven to be strong, effective leaders. In particular, Bill Hardgrave, Ron Burgess, Bobby Woodard, Allen Greene and Carl Stockton are deserving of specific recognition.

In his new role as Provost, Bill brings a high level of strategic thinking and focus to Auburn's wide-ranging academic portfolio. Ron transitioned seamlessly from his previous role to chief operating officer. His ability to manage multiple projects, experience leading in crisis scenarios, and keen sense of efficiency are indispensable. Recognizing untapped potential, we expanded Bobby's portfolio to leverage his abilities, and he is excelling. While new to the role of athletics director, Allen has already proven to be both a superb manager and effective Auburn ambassador. Carl has also been successful in his efforts to grow AUM enrollment and move the budget to the black.

6) Provide a brief summary of goals and objectives for the university for the year ahead as well as long range.

While we have a number of objectives for the coming year, I submit the following for your consideration, all of which were mentioned previously in this report:

- 1) *Complete strategic planning*  
Our strategic planning process is underway. We will ensure it proceeds on schedule. The final analysis and recommendations will provide clear direction to reach our priorities.
- 2) *Begin faculty hiring process*  
Our strategic plan will guide us as we recruit new faculty hires in key areas where we can achieve national impact. This bold initiative will require a tactical marketing effort unlike anything Auburn has done in the past.
- 3) *Grow research and economic development*  
We are making great strides in these areas, and we will advance these efforts even more when our new hires are on board.
- 4) *Raise Auburn's national visibility*  
We are working tirelessly to grow Auburn's brand and increase prestige, and we will update you on our results.
- 5) *Elevate our impact in Huntsville and Birmingham*  
The expansion of our footprint in these areas will ensure Auburn is an instinctive resource to private and public partners across our State's industrial and commercial centers.

# THE YEAR IN REVIEW

# AUBURN RESEARCH

JUNE 2017 TO MAY 2018

## On the move: Addressing society's most pressing needs



### Top-tier PhD students boosted by new fellowship program

To boost the university's research enterprise, the Presidential Graduate Research Fellowship program was established, with fellowships offered annually every fall to a select number of highly qualified new students who intend to pursue doctoral and terminal professional degrees in established and emerging areas of excellence. Each award will be for three years and will consist of a \$10,000 Presidential Fellowship, along with a minimum \$5,000 Dean's Fellowship and a minimum \$15,000 graduate research assistantship, along with tuition and fees. The inaugural cycle of the program has already attracted 25 top-tier doctoral students who will start at Auburn in fall 2018.

### Multidisciplinary PAIR teams selected, working to solve real-world challenges

A new initiative for 2018, the Presidential Awards for Interdisciplinary Research (PAIR) will propel collaborative research teams forward toward significant achievement and extramural funding. The selected projects were announced in June 2018. Following a rigorous selection process that began with 101 submitted proposals, program workshops, proposal submissions and thorough proposal reviews, 11 teams received awards. PAIR-funded research will include several projects in the health and environmental sciences, among others.

### PAIR projects are focused on finding practical solutions, including:

- *Making medical implants safer and more accessible through additive manufacturing*
- *Empowering rural residents to overcome barriers to home ownership*
- *Increasing knowledge of the brain and nervous system to reduce the burden of neurological diseases*
- *Creating a mobile lab to study the impacts of environmental disturbances on wildlife*
- *Partnering with local communities to improve the health of rural African Americans in East-central Alabama*
- *Converting carbon dioxide emissions to forms of useful energy through the creation of the Alabama CO<sub>2</sub> Utilization and Storage Center*
- *Studying the effects of olive oil on Alzheimer's patients*
- *Formulating strategies for treating infectious diseases by studying antibiotic-producing cultures found in soil*
- *Establishing a science-based Unified Climate Information System to better inform planning, policy and practices at regional, national and global levels*
- *Examining newly recognized contaminants to determine their environmental impact and possible health risks to humans and wildlife*
- *Developing a disease therapy program to increase positive outcomes for sufferers of liver disease.*



## Advancing transformative research

### Moving closer to R1 Carnegie classification

Pursuant to the goal of advancing Auburn to the R1 "highest research activity" Carnegie classification, the university is working toward an Electronic Research Administration system to support research administration and compliance by integrating a set of roles-based tools accessible from multiple devices. The goal of implementing these tools is to improve process efficiency and reduce administrative burden on researchers. The system will also provide transparency and performance metrics of various aspects of sponsored programs and compliance. The Office of the Vice President for Research and Auburn's Chief Information Officer, Jim O'Connor, obtained the services of IBM process-improvement experts assess Auburn's research administration and compliance processes. The IBM team is evaluating the current state of the university's processes and recommending technology solutions and best practices for exemplary research administration enterprises.

### Undergraduate researchers supported by fellowships

A collaboration among the Office of Undergraduate Research and Auburn's colleges and schools, the Undergraduate Research Fellowship program continues to thrive, offering year-long, two-semester, one-semester, and summer fellowships. The most recent fellowship cycle included 90 undergraduate research fellows representing a diverse array of research disciplines.

### More than \$1.8 million in grants awarded to 37 researchers

Auburn's Intramural Grants Program saw 37 of 86 applicants receive funding in the 2017-2018 award cycle, for a total of just over \$1.8 million awarded (\$949,030 from the Office of the Vice President for Research plus \$949,030 in college and departmental matching funds). Top-evaluated projects included research in biological sciences, political science, advanced manufacturing and a host of other areas.

## RESEARCH BY THE NUMBERS

**\$135 million**

sponsored awards  
in FY 2017

**1,100**

proposals submitted  
in FY 2017

*3% more than last year*

**\$190 million**

research expenditures  
in FY 2017

*24% more than last year*

**576**

Institutional Animal Care + Use  
Committee protocol review actions  
in CY 2017

*8% more than last year*

**\$1.4 million**

commercialization  
option + license revenue  
in FY 2017

**70**

invention disclosures  
in FY 2017

**98**

U.S. Patent applications  
in FY 2017

**15**

U.S. Patents issued  
in FY 2017

## Research in the news



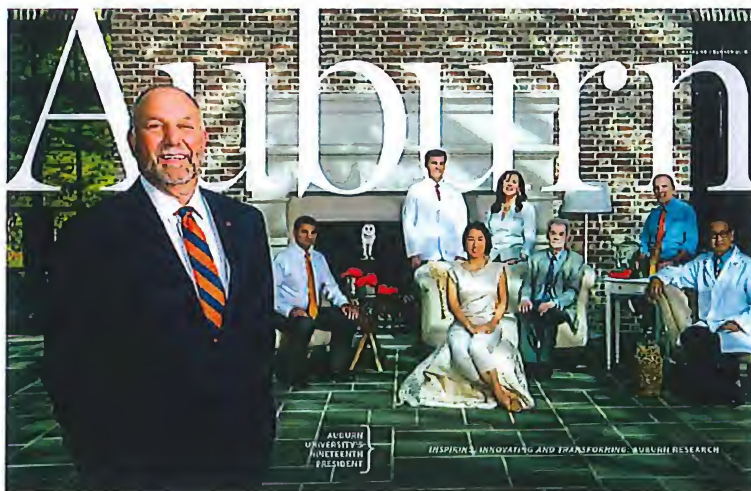
### Research magazine garners national award

The 2018 issue of *Auburn Research* magazine, featuring a cover story on gene therapy and molecular medicine in the College of Veterinary Medicine and an article on the university's new vision for research was distributed in April to industry and legislative contacts, peer institutions, media contacts and Auburn faculty and senior administrators. In spring 2018, the 2017 issue of *Auburn Research* magazine (with a cover story spotlighting the work of Dr. Mona El-Sheikh) received two advertising awards:

- SILVER ADDY Award from the American Advertising Federation (Montgomery)
- GOLD Award from the 33rd Annual Educational Advertising Awards (national)

### Alumni magazine features groundbreaking researchers

Also in spring 2018, Auburn Alumni Association's *Auburn* magazine convened a spectrum of Auburn researchers in key areas such as cyber security, advanced manufacturing and health sciences for a cover story on the university's plans for inspiring, innovating, and transforming Auburn research. The issue was released in early June.



## READ ALL ABOUT IT

Innovative Auburn research was positively featured in many national publications over the past year. Here are several:

- *The Atlanta Journal-Constitution*
- *The Chicago Tribune*
- *The Miami Herald*
- *National Geographic*
- *Newsweek*
- *Popular Science*
- *Rolling Stone*
- *The San Francisco Chronicle*
- *U.S. News & World Report*
- *USA Today*
- *The Washington Times*
- *Wired*



## Research events



### 2017 This is Research Faculty Symposium

Held in September, the symposium featured a variety of research and creative scholarship from across the university. In addition to 100 poster presentations, there were 12 roundtable discussion groups, 11 Auburn Talks by distinguished faculty and a research expo featuring 34 of the university's offices, centers, institutes and initiatives.

### 2018 This is Research Student Symposium

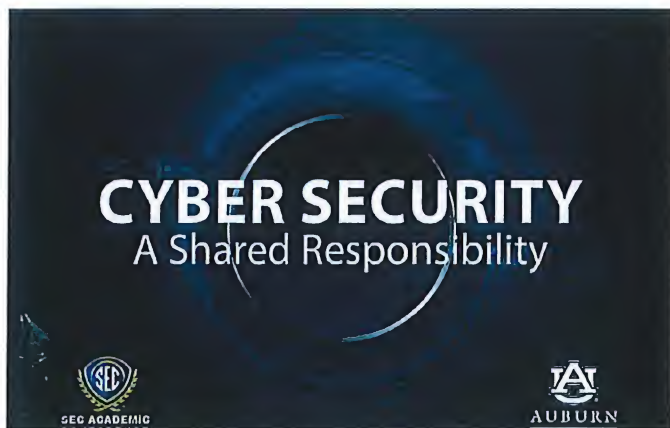
Held in March, This is Research was highly successful, with more than 450 student research presentations and an estimated total attendance of 1,000. Personnel from our Innovation Advancement and Commercialization team attended the student symposium, resulting in new invention disclosures and provisional patent filings.



### 2018 SEC Academic Conference

#### *Cyber Security: A Shared Responsibility*

The April 2018 conference was a success, with more than 230 attendees and 11 schools represented in the student cyber challenge and poster competition. Keynote speakers included Mike McConnell, former U.S. director of national intelligence. In conjunction with the SEC Academic Conference, the OVPRED and the Auburn Research and Technology Foundation (ARTF) hosted a meeting of the SEC Chief Research Officers at ARTF. The meeting included extensive discussions on the Auburn Research Park, innovation and entrepreneurship and intellectual property/technology transfer.



### Sharing research efforts with campus community

The University Research Council—an OVPR-organized group consisting of associate deans for research, research administrative leadership and other administrators whose work impacts the research enterprise—continued to receive quarterly “**Cool Research**” briefings, featuring research presentations from various Auburn colleges and schools. From June 2017 to May 2018, presentations were made by Undergraduate Research, the College of Human Sciences, the College of Liberal Arts and the Harrison School of Pharmacy.



## Economic development and external engagement progress



### **Auburn Research and Technology Foundation and Research Park growing to meet more needs**

In August 2017, ARTF, in conjunction with Auburn, retained HR&A Advisors to conduct an Auburn Research Park market and economic competitiveness assessment and Dumont Janks to collaborate with HR&A on updating the ARTF/Auburn Research Park master plan. The HR&A Assessment was completed in December 2017, while the corresponding Dumont Janks master plan project provided interim findings in April 2018. The collaborative effort has recommended transforming the Auburn Research Park into an Innovation and Arts District focused on five core industries: health sciences, aerospace, additive manufacturing, automotive and cyber security. Concentrated work has been ongoing to expand facilities in the Auburn Research Park. This included completing agreements with private developers and financial institutions to plan, develop and finance the following new buildings, which are expected to be under construction between now and the end of 2018 or early 2019:

- a. **Building 5** (Owned by ARTF) – Multi-tenant research and innovation facility for Auburn and commercial tenants;
- b. **Building 6** (Privately owned/ground lease provided by ARTF) – Health sciences facility providing an ambulatory surgery center and free-standing emergency department to be managed and operated by East Alabama Medical Center; clinical research offices and a wellness center to be operated by the Via College of Osteopathic Medicine; and potential facilities for other health sciences related research.
- c. **Building 7** (Owned by ARTF) – Child care facility for Auburn faculty and staff and tenants of Auburn Research Park.

### **Research and Economic Development Advisory Board welcomes new members**

The board welcomed nine new members at its spring 2018 meeting, including leaders from government, industry and startups. The group voted on its recommendation for the Advancement of Research and Scholarship Achievement Award and received briefings from the provost, vice president for research and economic development, and executive director of the Auburn Research and Technology Foundation.

### **New partnerships bring Auburn innovations to our private and public partners**

In March 2018, NASA and ASTM International, a global standards organization, selected Auburn for two partnerships that will spur technological advances in additive manufacturing:

- Expanding upon its existing relationship with NASA's Marshall Space Flight Center, Auburn formed the National Center for Additive Manufacturing Excellence, which already has more than 40 industry and government collaborators.
- This center is also part of a new Additive Manufacturing Center of Excellence, a collaborative effort with ASTM International and the engineering and technology nonprofit EWI. This partnership will direct its efforts to the development of new standards for the additive manufacturing industry, as well as conducting research to advance additive manufacturing technology and workforce development.

### **National Poultry and Technology Center is only facility of its kind in the U.S.**

The outreach, demonstration and applied research facility opened in mid-2017 and is the only center in the nation dedicated solely to testing and refining equipment to improve poultry farming efficiency and profitability. The NPTC is located at the Charles C. Miller Jr. Poultry Research and Education Center north of Auburn's main campus, and in the year since its opening, the facility has hosted eight major industrywide grower workshops, training more than 950 industry employees and growers.



### National Center for Asphalt Technology

In July 2017, NCAT was recognized with resolutions from the Alabama Legislature commending the institution's 30 years of service to the state. NCAT was established in 1986 as a partnership between Auburn and the National Asphalt Pavement Association to provide innovative, relevant and implementable research, technology development and education that advances safe, durable and sustainable asphalt pavements. NCAT brings in millions of dollars of sponsored research projects to Auburn each year and has an annual economic impact of more than \$125 million on Alabama.

### Huntsville Research Center

The AUHRC continued to facilitate contracting actions between Auburn faculty and government and industry partners in the Huntsville area (a total of \$5.6 million in contracts for fiscal year 2017).

Key research agreements and partnerships between Auburn University and Huntsville collaborators were coordinated through the AUHRC:

- Collaboration with the U.S. Army and the Federal Aviation Administration to develop innovative aviation learning and training modules using virtual, interactive and multimedia technology. The partnership seeks to develop gaming modules that can be implemented into the FAA's current curriculum for air traffic controllers.
- Partnership with the Von Braun Center for Science and Innovation to join its University Consortium focused on tackling challenges in the areas of space and national defense.
- Auburn/Boeing Student Employee Initiative hires students who work on-site at Boeing during the summer, but can continue their internship by working from Auburn when they return to school. The primary focus is on hiring engineering students, but the program is open to business, supply chain management and other discipline areas.

### Research administration

Auburn's Proposal Services and Faculty Support (PSFS) unit continued to provide proposal development assistance to faculty for large, interdisciplinary proposals and conducted monthly training to familiarize new faculty members with funding resources. PSFS also continued its successful Compass program, which provides in-depth training and resources for research administrators, accountants, and other Auburn personnel involved in administering research awards. Reflecting Auburn's reputation for setting best practices standards in the area of research administration, Tony Ventimiglia, director of PSFS, was elected in 2017 as vice president and president-elect of the National Council of University Research Administrators, an international professional organization with more than 7,000 members.

## Faculty and student highlights



### Engineering professor Lall recognized

Dr. Pradeep Lall, McFarlane Endowed Professor in the Department of Mechanical Engineering, was selected by the Auburn University Research and Economic Development Advisory Board as the 2018 recipient of the Advancement of Research and Scholarship Achievement Award. Lall, director of Auburn's NSF Center for Advanced Vehicle and Extreme Environment Electronics, is author or co-author of more than 500 journal and conference papers in the field of electronics reliability, safety, energy efficiency and survivability. He has led or co-led research projects that have received more than \$60 million in research funding. With significant funding from public-private partnerships, Lall's work has proven beneficial to the aerospace and automotive industries and advanced military vehicles and defense systems.



### Liberal Arts professor named Carnegie Fellow

Dr. Cathleen Giustino, the Mills Carter Professor in the Department of History (College of Liberal Arts), was named a 2017 Andrew Carnegie Fellowship recipient. Giustino specializes in the history of the politics of art, architecture, design and display in modern Central and Eastern Europe. She is using her fellowship to conduct research in the Czech Republic.



### Faculty receive awards to advance research

Two Auburn researchers received prestigious 2017 Ralph E. Powe Junior Faculty Enhancement Awards from the Oak Ridge Associated Universities consortium, or ORAU. The award funding will help further their research efforts.

- Dr. Bridgett King (Political Science/College of Liberal Arts) is working with colleagues from the University of Kentucky to study the impact of felony disenfranchisement laws and policy on community voter turnout among citizens who are still legally able to vote.
- Dr. Majid Beidaghi (Mechanical and Materials Engineering/Samuel Ginn College of Engineering) is collaborating with researchers from the Oak Ridge National Laboratory to examine potential cathode materials for aluminum batteries, which show promise as an alternative to the traditional lithium-ion batteries used in many portable electronic devices.



### Halanych, Newland earn Creative Research and Scholarship Awards

Two Auburn faculty received the Creative Research and Scholarship Award for 2017.



Dr. Kenneth M. Halanych, Alumni Professor and Schneller Endowed Chair, Department of Biological Sciences (Colleges of Sciences and Mathematics) was recognized in the Sciences, Biomedical Sciences, Engineering and Agriculture category.



Dr. Chris Newland, Professor, Department of Psychology (College of Liberal Arts) was recognized in the Fine Arts, Liberal Arts, Architecture and Design, Business and Social and Human Sciences category.



### Rogers represents Auburn as Rhodes Scholar

Matthew Rogers, a 2018 graduate with a bachelor's degree in software engineering, was named a 2017 Rhodes Scholar, the fifth in Auburn's history. As a student in Auburn's Samuel Ginn College of Engineering and the Honors College, Rogers maintained a perfect 4.0 grade-point average and is an undergraduate research fellow working with IBM on a Trusted Platform Module, or TPM, crypto-processor to create secure exchanges of information. He worked three summers as an undergraduate research intern at the Huntsville-based Dynetics, where he helped develop malware analysis tools. At Auburn, Rogers also served as an Honors College Ambassador and an Undergraduate Research Ambassador.

### Six represent Auburn as National Science Foundation Graduate Fellows

In May 2018, five Auburn students and an alumna were named recipients of the 2018 National Science Foundation Graduate Research Fellowship and five others received honorable mention. This year's fellows from Auburn are Dalisa Kendricks, Steph Courtney, Elijah Johnson, Breanna Siple, Jill Joffe and Kristin Zuromski. Their research topics include the effects of environmental neurotoxins; communicating climate change; enhancing spatial thinking; interaction of parasites and their hosts; detecting hidden improvised explosive devices; and protein quality control in cells. "The number of Auburn students applying for this impressive program continues to grow each year," said Paul Harris, associate director for National Prestigious Scholarships in the Honors College.

## Top faculty sponsored awards by dollar amount, June 2017 – May 2018

### NEW AWARDS:

Faculty Name	Department	College	Award Amount	Sponsor
Adler-Baeder, Francesca	Human Development & Family Studies	Human Sciences	\$1,687,064	U.S. Department of Health & Human Services – Administration for Children, Youth, and Families
Overfelt, Tony	Center for Industrialized Additive Manufacturing	Engineering	\$1,500,000	National Institute of Standards and Technology
Umphress, David	Auburn Cyber Research Center	Engineering	\$1,325,407	National Science Foundation
Thurrow, Brian	Aerospace Engineering	Engineering	\$1,105,277	National Science Foundation
Laurent, Guillaume	Physics	Sciences & Mathematics	\$882,274	U.S. Air Force Office of Scientific Research
Ortiz, Brenda	Crop, Soils and Environmental Sciences	Agriculture	\$753,531	U.S. Department of Agriculture Natural Resources Conservation Service
El-Sheikh, Mona	Human Development & Family Studies	Human Sciences	\$703,199	National Institutes of Health – National Heart, Lung, & Blood Institute
Hamilton, Michael	Alabama Micro-Electronics Center	Engineering	\$640,215	Private corporate sponsor
Thomas, Ed	Physics	Sciences & Mathematics	\$569,896	University of Alabama, Huntsville
Strutchens, Marilyn	Curriculum & Teaching	Education	\$560,586	National Science Foundation
Bevly, David	Mechanical Engineering	Engineering	\$500,000	Private corporate sponsor
Powell, Raymond "Buzz"	National Center for Asphalt Technology	Engineering	\$500,000	Alabama Department of Transportation
Dunham, Rex	School of Fisheries, Aquaculture and Aquatic Sciences	Agriculture	\$500,000	U.S. Department of Agriculture – National Institute of Food & Agriculture
Ashwood, Loka	Agricultural Economics & Rural Sociology	Agriculture	\$499,564	U.S. Department of Agriculture – National Institute of Food & Agriculture
Miller, Justin	Architecture	Architecture, Design and Construction	\$497,157	U.S. Department of Housing and Urban Development



## MODIFICATIONS/ADDITIONS TO PRIOR AWARDS

Miller, Ellaine	Human Development & Family Studies	Human Sciences	\$2,376,000	Alabama Department of Human Resources
Powell, Raymond "Buzz"	National Center for Asphalt Technology	Engineering	\$1,821,351	Alabama Department of Transportation
DeVries, Dennis	School of Fisheries, Aquaculture and Aquatic Sciences	Agriculture	\$998,784	U.S. Army Corps of Engineers
Bevly, David	Mechanical Engineering	Engineering	\$657,116	Private corporate sponsor
Martin, Doug	Scott-Ritchey Research Center	Veterinary Medicine	\$599,714	National Institutes of Health - National Institute of Neurological Disorders and Stroke
Maurer, David	Physics	Sciences & Mathematics	\$540,000	U.S. Department of Energy
Martin, Doug	Scott-Ritchey Center	Veterinary Medicine	\$530,501	National Institutes of Health - National Institute of Neurological Disorders and Stroke
Chae, David	Human Development & Family Studies	Human Sciences	\$530,045	National Institutes of Health - National Institute of Arthritis and Musculoskeletal & Skin Diseases



AUBURN UNIVERSITY  
ANNUAL PRESIDENTIAL ASSESSMENT

The Board of Trustees should perform annually a Presidential Performance Assessment, typically on or before the Annual Board Meeting.

**Primary Purposes**

- To assess overall performance in a manner which enables the Board to assess the President and strengthen Presidential performance.
- To enable the Board and President to assess current goals and set mutually agreed upon goals.

**Presidential Self-Assessment**

The President, in consultation with the President Pro Tempore, and prior to the Performance Assessment, must submit a report regarding the Assessment period including, but not limited to the following:

- Summarize performance in addressing previously established goals and objectives.
- Highlight particularly significant accomplishments during the Assessment period.
- Identify continuing problems the President is facing and recommend how the Board and President might work together to address these problems.
- Describe three major challenges and three opportunities the University will face in the upcoming year and what role the President will play in addressing them.
- Briefly discuss the strengths and overall performance of the Senior Administrative Staff.
- Provide a brief summary of goals and objectives for the University for the year ahead as well as longer range.
- Provide recommendations concerning timing of a Presidential Search and Appointment.

## Assessment Criteria

### General Administrative Effectiveness

- Management of human, fiscal, and physical resources. Including planning, decision making, solving problems, leading change, linking plans and actions, developing a management team, and delegating responsibility.
- Establishment and supervision of an effective administrative team.
- Development, maintenance, and renewal of plans to meet long-term needs.
- Provision of leadership, direction, and support for periodic Assessment of academic and co-curricular programs and accomplishments which stimulate teaching, learning, research, scholarship, and professional development.

### Communications

- Encouragement and support for open lines of communication throughout the University.
- Consultation within, participation in, and promotion of a shared vision within the University community.
- Encouragement of community involvement and shared vision within the University.
- Facilitation of regular communication with Board members concerning pertinent University issues.

### Advancement

- Demonstrated evidence of community understanding and support for University advancement.
- Establishment and maintenance of constructive relations with federal, state, and local governments.
- Establishment and maintenance of constructive relations with the media.
- Effective leadership and support for institutional advancement and development programs.
- Successful enhancement of the University's local, regional, and national reputation.

Personal Attributes

The President:

- Effectively articulates concepts and initiatives.
- Efficiently and innovatively solves problems.
- Considers the public relations and political implications of his actions.
- Manages multiple problems and events simultaneously.
- Withstands criticism and directs opposition into productive channels.
- Understands issues and facts before making decisions.
- Identifies and addresses central issues in complex problems.
- Promotes coordinated and efficient programs and operations.
- Is readily available to consult with necessary University constituents and board members.

Comments: \_\_\_\_\_  
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President

\_\_\_\_\_  
President Pro Tempore

## BY-LAWS OF THE BOARD OF TRUSTEES OF AUBURN UNIVERSITY

### CHAPTER I

#### *THE UNIVERSITY*

##### SECTION 1. General Provisions

- 1.1 Auburn University is a public corporation and instrumentality of the State of Alabama, created and existing by virtue of Section 266, Constitution of Alabama of 1901, and Section 16-48-1, et seq., Code of Alabama 1975.
- 1.2 Auburn University is a land-grant university of the State of Alabama. As a Land-Grant University, Auburn is dedicated to service to Alabama and the nation through instruction, research, and extension. Instruction is the academic process on campus and elsewhere between professors and students. Research is carried on continually to increase knowledge. Extension programs provide educational services and special assistance throughout the State.
- 1.3 Auburn University consists of two campuses. The principal campus unit was originally chartered in 1856 and is located in Auburn, Alabama. The second campus (AUM) was authorized by the Board of Trustees, pursuant to action of the Alabama Legislature in 1967, and is located in Montgomery, Alabama. These educational units, together with certain authorized adjuncts, constitute Auburn University, for which the Board of Trustees is the governing body.

### CHAPTER II

#### *BOARD OF TRUSTEES*

##### SECTION 1. General Provisions

- 1.1 Under the Alabama Constitution and Statutes, Auburn University is governed by a Board of Trustees.
- 1.2 The Board of Trustees consists of sixteen members, as follows: one member from each congressional district, as these districts were constituted on January 1, 1961, one member from Lee County, five at-large members, and the Governor, who is a member ex officio, with full voting powers.
- 1.3 New members of the Board of Trustees are appointed by an appointing committee, by and with the advice and consent of the State Senate, and hold office for a term of seven years, and until their successors are appointed and qualified, but in no event longer than one year after completion of the term of



office. Each member of the Board of Trustees, as constituted on December 13, 2000, may serve the remainder of his or her current term and shall be eligible, if otherwise qualified, to serve for no more than two additional seven-year terms. In no event shall more than three trustee's original terms expire in any given year. In the event that more than three Trustee terms would otherwise expire in the same year, the Trustee or Trustees whose terms expires first in that year shall have their term extended until the next year in which fewer than three Trustee terms expire.

Under the laws of the State of Alabama, the Board of Trustees has no power to remove one of its members. Section 60 of the Constitution of Alabama which provides that "[n]o person convicted of embezzlement of the public money, bribery, perjury, or other infamous crime, shall be eligible to the legislature, or capable of holding any office of trust or profit in this state" sets forth the grounds and procedure for removing a Trustee.

- 1.4 Trustees to fill vacancies occurring on the Board of Trustees from death, resignation, or other cause are appointed by the appointing committee, by and with the advice and consent of the State Senate for the remainder of the expired term.
- 1.5 The President Pro Tempore or another Trustee whom he/she designates, along with another Trustee elected by the Board of Trustees, will be members of the appointing committee. The Governor and two members of the Auburn Alumni Association Board of Directors, selected by the Auburn Alumni Association, shall be the other members of the appointing committee.
- 1.6 No Trustee may receive any pay or emolument other than actual expenses incurred in the discharge of Board duties.
- 1.7 No employee of Auburn University is eligible to serve on its Board of Trustees.
- 1.8 The presidents of the Student Government Associations at Auburn University and Auburn University at Montgomery serve ex officio as advisory members to the Board of Trustees.
- 1.9 The immediate Past-Chair of the Auburn University Senate and immediate Past-President of the AUM Faculty Council will serve as non-voting advisors to the Board of Trustees, replacing their predecessors at the next Board meeting after assuming that status.
- 1.10 Emeritus status shall be conferred automatically when a member of the Board of Trustees completes a term or terms of service. Members emeriti may attend meetings in a non-voting ex officio capacity in appreciation for service to Auburn University.

SECTION 2. Authority and Responsibility of the Board

- 2.1 The entire management and control over the activities, affairs, operations, business, and property of Auburn University shall be completely and absolutely vested in the Board of Trustees of Auburn University.
- 2.2 In the exercise of its responsibility and authority, the Board determines policy; reviews existing policy; selects and regularly evaluates the President; approves the mission, role, and scope of the University and each of its major divisions; and provides ultimate accountability to the public and the political bodies of Alabama. Any authority delegated by the Board shall be subject to the ultimate authority of the Board.
- 2.3 The Board will perform, where expressly stated by Board of Trustees policy, many essential functions, including but not limited to the following:
  1. Develop basic long-range objectives of the University;
  2. Establish policies of the University and direct the President to implement those policies to achieve the long-range objectives of the University;
  3. Elect and remove the President of the University and the Secretary to the Board of Trustees;
  4. Oversee the President's review of any internal or external evaluation of the University as a whole;
  5. Review and approve academic plans, including new programs and new units, and major modifications in existing programs and units;
  6. Approve, upon recommendation of the President, the earned degrees awarded;
  7. Designate academic chairs and professorships; award honorary degrees; and name for individuals buildings and other structures (and major portions thereof), streets, geographic areas, and academic, research, and service programs;
  8. Approve admission policies and establish tuition, fees, and charges;
  9. Review and approve legislative requests for appropriations;
  10. Review and approve annual budgets and budget changes;
  11. Approve all gifts where restrictions are indicated, designate the use of unrestricted gifts, and approve and designate the use of testamentary gifts;

12. Approve or designate who shall approve all loans, borrowing, and issuance of bonds;
13. Approve or designate who shall approve appointments, contracts, and salaries of other principal official, and compensation policy for faculty and staff;
14. Approve Campus Master Plans, Campus and Capital Projects Planning Process, and Capital Projects Approval Policy;
15. Approve or designate who shall approve all contractual relationships and other major legal obligations executed in the name of the Board or Auburn University;
16. Approve or authorize the Executive Committee to approve all purchases and sales, of real property, and insure that all properties of the University are preserved and maintained;
17. Establish auditing policies and standards and appoint independent auditors;
18. Approve architects, engineers, and project managers, preliminary and final budgets, and award of construction contracts for certain capital projects, as well as the acquisition of certain new equipment and computer software and all land.

### SECTION 3. Officers

- 3.1 The Governor serves ex officio as President of the Board of Trustees. The duties and responsibilities of the President of the Board include:
  - 3.1.1 To report and be responsible to the Board.
  - 3.1.2 To preside over meetings of the Board.
  - 3.1.3 To call special meetings of the Board in the manner provided by statute.
- 3.2 A President Pro Tempore of the Board shall be elected by the Board at its annual meeting. A Vice President Pro Tempore shall be elected at any annual meeting in which a sitting President Pro Tempore is elected to serve a second term as President Pro Tempore.
  - 3.2.1 No member of the Board may be elected to the office of President Pro Tempore more than two complete consecutive terms.
  - 3.2.2 Vacancies in the office of President Pro Tempore shall be filled by election of the Board at the first meeting held after the office becomes

vacant. The President Pro Tempore shall serve until the next annual meeting. Such partial term as President Pro Tempore shall not count as a term as set out in paragraph 3.2.1.

- 3.2.3 In the absence of the President and the President Pro Tempore, the Vice President Pro Tempore shall serve temporarily as President Pro Tempore. If there is no Vice President Pro Tempore in office, the senior member of the Board shall serve temporarily as President Pro Tempore.
- 3.2.4 Vacancies in the office of Vice President Pro Tempore shall be filled by election of the Board at the first meeting held after the office becomes vacant. The Vice President Pro Tempore shall serve until the next annual meeting.
- 3.2.5 The Vice President Pro Tempore may or may not be nominated to succeed the President Pro Tempore when a vacancy occurs.
- 3.3 The duties and responsibilities of the President Pro Tempore of the Board include:
  - 3.3.1 To perform the duties of the President of the Board in the absence of the President.
  - 3.3.2 To report and be responsible to the Board.
  - 3.3.3 To perform such other duties as assigned by the Board.
  - 3.3.4 To appoint members of the Executive Committee of the Board, to establish special committees of the Board and appoint members thereof, to designate the chairperson and vice-chairperson of all committees as appropriate, and to appoint Lead Trustees to serve as liaisons with certain operational areas of the University.
- 3.4 The Board shall appoint the President of Auburn University, who shall serve at the pleasure of the Board, consistent with the terms of any contract.
- 3.5 The Board shall appoint and compensate the Secretary to the Board of Trustees and may appoint accountants, lawyers, and other advisors or assistants, who shall serve at the pleasure of the Board and shall perform such duties as are assigned by the Board or the President Pro Tempore.
- 3.6 The Board of Trustees may elect such other officers as it may deem necessary, and such officers shall serve at the pleasure of the Board.

#### SECTION 4. Committees or Lead Trustees

- 4.1 Standing committees, composed of members of the Board, shall be those as established in Chapter II, paragraph 4.4, of these By-Laws. Lead Trustees shall serve as a liaison with certain designated operational areas of the University.

Also, there may be special committees composed of members of the Board.

A Lead Trustee shall be appointed to serve as a liaison with the administration for the following areas:

- Legal Affairs: The Lead Trustee shall serve as a liaison with the Office of General Counsel.
- Athletics: The Lead Trustee shall serve as a liaison with the Athletics Department, serve as the Trustee representative on the Tigers Unlimited Board, and act as a Board designee to monitor and, along with the Chair of the Executive Committee, approve compensation packages in Athletics' employment contracts.
- Alumni: The Lead Trustee shall serve as a liaison with the Vice President of Alumni Affairs and the Auburn Alumni Association.

4.2 Each year, after the annual meeting of the Board, the President Pro Tempore of the Board shall appoint the chair of all standing committees, all lead trustees, and members of any special committees of the Board, who shall serve until their successors are appointed or the duties of the special committee end.

4.3 Each Trustee shall serve as a member of each standing committee of the Board, with the exception of the Executive Committee, which shall be composed of at least three members of the Board. More than one half of the members of a standing committee shall be present to review issues assigned to a committee. All members of the Board are permitted to communicate freely with all Lead Trustees.

4.4 Standing Committees of the Board are:

4.4.1. Executive Committee. During intervals between meetings of the Board, and subject to such limitations as may be required by law or specifically imposed by the Board, the Executive Committee may make recommendations to the President and/or the Board in all areas of University affairs as it may deem appropriate. This committee may provide recommendations for Board action on matters of policy relating to laws and regulations governing duties and powers of the Board. The committee may review matters of University legal involvement, oversee presidential evaluation, and make recommendations concerning the President's compensation package. It may also consider and provide recommendations to the Board on policies related to total compensation of University employees, balancing good stewardship of institutional resources with promotion of a quality work force by providing competitive compensation. Recommendations on commemorative activities of the University, including naming of buildings and awarding of honorary degrees, may be the responsibility of this committee, as well as other

matters referred to it by the Board of Trustees or the President of Auburn University.

Should it be necessary, the Committee shall have and may exercise all the powers and authority of the Board in the transaction of the business of the University between meetings of the Board except (a) insofar as such power and authority may have been specifically limited by the Board or applicable law, (b) for selling University- owned real estate, (c) for dismissing or appointing the President of the University, (d) for approving the basic academic program of the University, (e) to discuss vacancies on the Board, and (f) to amend the By-Laws of the Board.

A review of any actions of the Committee shall be a regular order of business at each meeting of the Board, and such actions shall be subject to revision and alteration by the Board, provided that no rights of third parties shall be affected by any such revision or alteration.

- 4.4.2 Academic Affairs Committee. The Academic Affairs Committee may consider and provide recommendations for Board action on policies relating to the academic freedom, tenure and promotion of faculty, and the overall academic program, including long range plan development, review of existing academic programs, approval of new academic programs, missions statements and statements of role and scope, and other matters related to the orderly development of the University. Further, the committee shall be concerned with the granting of earned degrees, the recruitment, appointment, promotion and dismissal of academic personnel, affirmative action and equal opportunity in the academic areas, research leaves and sabbaticals, the library, and other matters of an academic nature, including but not limited to learning communities, scholarships, admission standards and enrollment management and shall ensure that all academic programs are consistent with the mission of the University.
- 4.4.3 Audit and Compliance Committee. The Audit and Compliance Committee may consider policies and take other actions as set forth in the Audit and Compliance Policy concerning oversight in areas of financial controls and reporting and administration of the Code of Ethics and Compliance.
- 4.4.4 Finance Committee. The Finance Committee may have as its responsibility oversight of fiscal policies of the University. Specifically, the Committee may consider and provide recommendations to the Board on annual operating budgets as developed by the President, and general guidelines for proposing legislative budget requests.
- 4.4.5 Property and Facilities Committee. The Property and Facilities Committee may consider and provide recommendations to the Board for action policies related to management of properties of the University, construction and renovation of facilities, consideration of the President's recommendations for project architects and engineers, and other matters

concerning the properties of the University. It may consider the recommendations of the President for capital expenditures and building priorities and make recommendations to the Board.

Upon designation of a capital project as an expedited project by the Board of Trustees, the Property and Facilities Committee of the Board shall have the authority to take all action, other than approval of the budget and site otherwise designated by these By- Laws or Board of Trustees Policy as requiring full Board of Trustees approval.

A review of any actions of the Property and Facilities Committee shall be a regular order of business at each meeting of the Board, and such actions shall be subject to revision and alteration by the Board, provided that no rights of third parties shall be affected by any such revision or alteration.

- 4.4.6 Agriculture and Natural Resources Committee. The Agriculture and Natural Resources Committee may consider and provide recommendations to the Board for action policies related to programs of agriculture, operation of the agriculture experiment stations, cooperative extension system and agricultural lands.
- 4.4.7 Auburn University at Montgomery Committee. The Auburn University at Montgomery Committee may consider and provide recommendations to the Board or the appropriate committees of the Board for policies related to Auburn University at Montgomery.
- 4.4.8 Student Affairs Committee. The Student Affairs Committee may review for alignment with institutional mission and student needs the totality of programs serving students' needs that includes promoting a diverse student body, counseling, remedial programs, career and life-planning, financial aid, and co-curricular activities. In addition, the Committee may assess the current and ideal allocation of resources to those programs; set standards for and keep track of student satisfaction and retention; reflect and make recommendations to meet projected changes and developments in students' needs over the next years; keep current on student support programs in higher education; and determine and review data required from the administration, compare it over time, and assess it in the light of data from other institutions.
- 4.4.9 The Committee on Institutional Advancement. The Committee on Institutional Advancement may consider and provide recommendations to the Board on policies related to informational and promotional programs, fund raising efforts, government relations, alumni relations, and relations with and activities of other affiliated or support organizations.
- 4.4.10 Research and Technology Committee. The Research and Technology Committee may consider and provide recommendations to the Board on policies related to the support of research activities and use of technology.

- 4.4.11 Governmental Affairs Committee. The Governmental Affairs Committee may consider and provide recommendations to the Board on issues related to local, state, and federal governmental relations.
- 4.5 The Board of Trustees will establish such special committees as it deems advisable. In other areas of University administration and operations, the President Pro Tempore of the Board has the authority to designate Lead Trustees. Lead Trustees shall serve as liaisons with faculty and administrative counterparts within certain designated operational areas of the University, in accordance with the Board's Policy on Trustee Administration Communications. These operational areas of the University include, but are not necessarily limited to, Alumni, Legal, and Athletics.
- 4.6 All members of the Board are entitled to attend any committee meetings, of which they are not already members.
- 4.6 Each standing or special committee will provide public notice as required by law of scheduled meetings and will prepare and maintain minutes of its meeting except for meetings of the Executive Committee in Executive Session.
- 4.7 Annually, faculty members, or with respect to the Committee on Institutional Advancement, members from affiliated or support Organizations, shall be appointed as non-voting advisory member(s) of most standing committees. The appointments will be made by the President Pro Tempore as follows:
- Academic Affairs Committee – Chair of University Senate
  - As provided in paragraph 4.7.1, recommendations for other appointments shall be made to the President Pro Tempore for committees and other operational areas as follows:
    - ☐ Finance Committee - one from AU College of Business and one from AUM School of Business;
    - ☐ Property and Facilities Committee - one from College of Engineering or College of Architecture, Design and Construction;
    - ☐ Agriculture and Natural Resources Committee - one from College of Agriculture;
    - ☐ Auburn University at Montgomery Committee - one (1) from AUM;
    - ☐ Student Affairs Committee - one (1) member of the faculty;



<sup>19</sup><sub>22</sub> The Committee on Institutional Advancement – one or more faculty members from the AU or AUM faculty as well as one or more members from affiliated or support organizations

- 4.7.1 The University Senate at the Auburn Campus or Faculty Council at AUM shall submit a list to the President or Chancellor of three faculty members from within the faculty of the college or campus stated above. The President or Chancellor, in consultation with the Dean(s)/Chancellor of the college or campus, shall select a name from that list or if no name is selected, shall request the University Senate or Faculty Council to forward additional names until a member is selected. The recommendations will then be forwarded to the President Pro Tempore so that the appointments can be made at each annual meeting.

Members from affiliated or support organizations shall be recommended by the President.

- 4.8 The President of the Student Government Associations of Auburn University and Auburn University at Montgomery shall serve as non-voting members of the Student Affairs Committee.

#### SECTION 5. Meetings

- 5.1 The Board shall hold one regular meeting during each quarter of the calendar year, in accordance with a schedule determined by the Board at its annual meeting. Other meetings may be called and held as provided by law. Public notice of scheduled meetings will be given as required by law.
- 5.2 The annual meeting of the Board is held on the first Monday in June at Auburn, Alabama, unless the Board, in regular session, determines to hold this meeting at some other time and place.
- 5.3 Special meetings may be called by the Governor on at least ten days written notice and shall be called by the Governor on the written application of any three (3) members of the Board, in the manner provided by applicable law of the State of Alabama.
- 5.4 In lieu of notice, a written waiver of notice of any meeting shall be sufficient, provided such waiver is signed by at least nine (9) members of the Board.
- 5.5 The members of the Board of Trustees may recess at any regular or special meeting from one date to another as established by approved schedule or at the call of the President Pro Tempore, and at the continuation of such recessed meeting, they may transact any business relating to the affairs of the University.
- 5.6 An agenda for Board and any committee meetings will be prepared by the President of Auburn University, in consultation with the President Pro Tempore, and transmitted to Board members at least seven days in advance of meetings.

This requirement does not preclude consideration of matters proposed by the President or members of the Board which could not reasonably have been included in the agenda. Subject to approval by majority vote of those present, the Board may consider any other item of business.

- 5.7 Vote by proxy shall not be permitted. This does not preclude a member of the Board of Trustees not present at a meeting from having entered into the minutes for that meeting an opinion on any agenda item on which action is taken, provided that such personal views should be submitted in writing.
- 5.8 Consistent with requirements of applicable open meetings law the Board and committees may meet by telephone conference or video conference.

#### SECTION 6. Quorum

- 6.1 One more than half of the members of the Board shall constitute a quorum, but a smaller number may adjourn or recess from day to day until a quorum is present.

### CHAPTER III

#### *ADMINISTRATION*

#### SECTION 1. General Provisions

- 1.1 The administration of Auburn University, under the authority of the Board of Trustees, is unified in the Office of the President.

#### SECTION 2. President of the University

- 2.1 The President of the University shall be the chief executive officer of the University and shall be responsible and accountable for all of the affairs of the University, except those which by law or these By-Laws are made the responsibility of other persons but in all cases subject to the authority of the Board. The President shall have the power, in the name of the University, to make and execute, or authorize the making and execution of, all contracts and written instruments made in the ordinary course of the operations of the University, except those which must be specifically approved and authorized by the Board.
- 2.2 All officers, staff, faculty and other employees of the University, except those provided for in Chapter II, section 3.5, shall be under the final authority of the President of the University, who shall exercise overall direction in implementing the policies of the Board.
- 2.3 The President shall be an ex-officio non-voting member of all Board committees.
- 2.4 Except as otherwise provided for in these By-Laws or Board policy, the President of the University shall appoint all officers, staff, faculty and other employees of the University.

- 2.5 In the case of an extended absence of the President, the duties of that office shall be assigned to a Presidential delegate approved by the Board of Trustees. In the case of disability of the President, the Board of Trustees shall designate an interim President.
- 2.6 Presidential Evaluation and Compensation
  - 2.6.1 The President shall be evaluated at the annual meeting of the Board, according to written objectives, specific and general, developed by the President, discussed with the President Pro Tempore, and presented to the Board before the outset of each academic year. The President shall report on these goals at each meeting of the Board.
  - 2.6.2 The President Pro Tempore and the Chair of the Executive Committee shall review the President's compensation package based on the annual evaluation.

### SECTION 3. Other Non-Faculty Officials

- 3.1 The Provost at Auburn University, the Chancellor of Auburn University at Montgomery, Vice Presidents of Auburn University, the Director of Intercollegiate Athletics at Auburn University, the General Counsel, and the Chief Financial Officer shall be appointed by the President of Auburn University, upon prior approval of the Board of Trustees. Such officials shall exercise such powers and perform such duties under the supervision of the President of Auburn University. All senior administrators reporting to the President shall be evaluated annually by the President.
- 3.2 The directors of the Agricultural Experiment Station and Cooperative Extension System shall be appointed by the President, upon prior approval of the Board.
- 3.3 All other non-faculty Principal Officials of Auburn University, as defined in the Policies and Procedures of Auburn University, shall be appointed by the President, upon prior approval of the Board or its designees.

## CHAPTER IV

### *BOARD POLICY STATEMENTS*

#### SECTION 1. General Provisions

- 1.1 Policies and procedures statements are usually prepared by the President and approved by the Board of Trustees to guide administrative decisions and Board action. These are distributed on campus in the form of a Policies and Procedures Manual.
- 1.2 Board policy statements are approved by majority vote of those Trustees present at any regular or special meeting of the Board of Trustees having a quorum in

attendance.

- 1.3 A policy or group of policies may be waived by majority vote at any regular or special meeting of the Board having a quorum present. Such waiver may be limited to a specific time period or may be indefinite until terminated by Board action.

## CHAPTER V

### *CODE OF ETHICS*

#### SECTION 1. General Provisions

- 1.1 A member of the Board of Trustees shall, when making decisions in that capacity, exercise independent judgment so that no minority cohort of the Board or organization or interest separate from the Board, controls the decisions of the Board and, accordingly, so that the sole concern of each member is to benefit the institution and to protect the institution from undue influence by external persons or bodies.
- 1.2 A member of the Board of Trustees shall not use his or her position on the Board of Trustees of Auburn University to profit financially from any service on the Board of Trustees, except by receiving normal and customary reimbursement for expenses for service as a Trustee.
- 1.3 In order to avoid any potential or real conflict of interest involving the position of a Trustee of Auburn University and any business or economic interest which said member of the Board has, the Board member shall fully and publicly disclose said interest and will not participate in the discussion, debate, or voting upon said matter. Said disclosure shall be duly noted in the minutes of the meeting of the Board of Trustees or committee, if appropriate. The Board of Trustees, or a duly charged committee thereof, has the responsibility for administering the disclosures required in this Code of Ethics.
- 1.4 No member of the Board of Trustees shall disclose confidential information regarding current or planned decisions or actions to others.
- 1.5 Upon appointment to the Board and thereafter at each annual meeting, each member of the Board of Trustees shall affirm that he or she has reviewed this Code of Ethics and will comply with its requirements on a form and in a manner set forth by the Board of Trustees, or a duly charged committee thereof.

## CHAPTER VI

### AMENDMENT OR REPEAL OF BY-LAWS

#### SECTION 1. General Provisions

- 1.1 Upon approval by the affirmative vote of nine members of the Board of Trustees, these By-Laws shall become effective at the conclusion of the Board's annual meeting in June 1984.
- 1.2 New By-Laws may be adopted, and By-Laws may be amended or repealed, at any meeting of the Board by the affirmative vote of nine members of the Board, but no action shall be taken unless such proposed adoption, amendment, or repeal shall have been given at a previous meeting or notice in writing of the proposed change shall have been served upon each member of the Board at least thirty (30) days in advance of the final vote upon such change, provided; however, that by an affirmative vote of at least nine members of the Board the requirements for such notice may be waived at any time.

#### SECTION 2. Suspension of By-Laws

- 2.1 The By-Laws or any one of them may be suspended at any meeting by an affirmative vote of at least nine members of the Board and not otherwise.

## CHAPTER VII

### REPEALING CLAUSE

#### SECTION 1. General Provisions

- 1.1 All rules, orders, regulations, resolutions and By-Laws heretofore adopted by the Board, which are in conflict with these By-Laws, are hereby repealed but such repeal shall not affect actions heretofore taken pursuant to such rules, orders, regulations, resolutions and By-Laws.

*Approved November 4, 1983; Amended June 2, 1986; Amended December 17, 1991; Revised June 1, 1992; Revised November 6, 1998; Revised June 4, 2001; Revised July 23, 2001; Revised November 16, 2001; Revised June 3, 2002; Revised November 15, 2002; Revised June 11, 2004; Revised November 10, 2006; Revised April 25, 2008; Revised June 19, 2009; Revised June 18, 2010; Revised February 9, 2018.*